# NC ANNUAL SYNAR REPORT

42 U.S.C. 300x-26 OMB ? 0930-0222

# FFY 2005 2004 SYNAR SURVEY

A REPORT DESCRIBING STRATEGIES AND ACTIVITIES TO REDUCE YOUTH ACCESS TO TOBACCO PRODUCTS AS REQUIRED BY THE FEDERAL SYNAR AMENDMENT

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To The

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Substance Abuse and Mental Health Services Administration Center for Substance Abuse Prevention www.samhsa.gov

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# INTRODUCTION

The Annual Synar Report (ASR) format provides the means for States to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the SAPT Block Grant (45 C.F.R. 96.130 (e)).

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project (0930-0222); 1 Choke Cherry Road, 7<sup>th</sup> Floor Rockville, Maryland 20857

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 08/31/2007.

# How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY xxxx Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY xxxx Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and on-site technical assistance consultation.

### How the Synar report can help States

The information gathered for the Synar report can help States describe and analyze sub-State needs for program enhancements. These data can also be used to report to the State legislature and other State and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from State Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of State progress in implementing Synar, including State difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

<sup>&</sup>lt;sup>1</sup>The term State is used to refer to all the States and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

## **Getting assistance in completing the Synar report**

If you have questions about programmatic issues, you may call CSAP's Division of State and Community Systems Development at (301) 443-0369 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (301) 443-4456.

# Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2004. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

Submit one signed original of the report, one additional copy, and an electronic version on either CD-ROM or 3.5" diskette to the Grants Management Officer at the address below:

Grants Management Officer Office of Program Services, Division of Grants Management Substance Abuse and Mental Health Services Administration

#### Regular Mail: Overnight Mail:

1 Choke Cherry Road, 7<sup>th</sup> Floor Rockville, Maryland 20857

1 Choke Cherry Road, 7<sup>th</sup> Floor Rockville, Maryland 20850

FFY 2005: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

### PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT

42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.

#### SYNAR SURVEY SAMPLING METHODOLOGY

The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2005 is upto-date and approved by the Center for Substance Abuse Prevention.

### SYNAR SURVEY INSPECTION PROTOCOL

The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY2005 is up-to-

date an	d approved by the Center for Substance Abuse Preve	ntion.			
~					
State:	North Carolina				
Nome	of Chief Evenutive Officer or Designed Cormon I	Inchan Odom			
Name of Chief Executive Officer or Designee: Carmen Hooker Odom					
Signature of CEO or Designee:					
Signati	are of ello of besignee.				
	Secretary, Department of Health and Human				
Title:	Services	Date Signed:			
If signed by a designee, a copy of the designation must be attached					

# **SECTION I: FFY 2004 (Compliance Progress)**

# YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

42 U.S.C. 300x-26 requires the States to report information regarding the sale/distribution of tobacco products to individuals under age 18.

1.	access s	ndicate any changes or additions to the State tobacco statute(s) relating to youth ince the last reporting year. Please attach a photocopy of the change(s) in the $w(s)$ if any was made since the last reporting year. (See 42 U.S.C. 300x-26)								
	a.	a. Has there been a change in the minimum sale age for tobacco products?								
		☐ Yes ⊠ No								
		If Yes, current minimum age: $\square$ 19 $\square$ 20 $\square$ 21								
	b.	Have there been any changes in State law that impact the State's protocol for conducting Synar inspections? $\square$ Yes $\boxtimes$ No								
		If Yes, indicate change (check all that apply):								
		☐ Changed to require that law enforcement conduct inspections of tobacco outlets								
		☐ Changed to make it illegal for youth to possess, purchase or receive tobacco								
		Changed to require ID to purchase tobacco								
		U Other change(s) (please describe):								
	c.	Have there been any changes in the law concerning vending machines?								
		☐ Yes ⊠ No								
		If Yes, indicate change (check all that apply):								
		☐ Total ban enacted								
		☐ Banned from location(s) accessible to youth								
		Locking device or supervision required								
		Other change(s) (please describe):								
	d.	Have there been any changes in State law that impact the following?								
		Licensing of tobacco vendors								
		Penalties for sales to minors								
2.		e how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see $(3.00x-51)$ ) were made public within the State. (Check all that apply)								
		Placed on file for public review								
	$\boxtimes$	Posted on a State agency Web site								
		Notice published in a newspaper or newsletter								
		Public hearing								
		Announced in a news release, a press conference, or discussed in a media interview								

		Distributed for review as part of the SAPT Block Grant application process
		Distributed through the public library system
		Published in an annual register
		Other change(s) (please describe):
3.	Identify	the following agency or agencies. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130)
	a.	The State agency(s) designated by the Governor for oversight of the Synar requirements:
		NC Dept. of Health and Human Services, Division of Mental Health, Developmental Disabilities and Substance Abuse Services
		Has this changed since last year's Annual Synar Report?   Yes No
	<b>b.</b>	The State agency(s) responsible for conducting random, unannounced Synar inspections:
		NC Dept. of Health and Human Services, Division of Mental Health, Developmental Disabilities and Substance Abuse Services
		Has this changed since last year's Annual Synar Report?   Yes  No
	c.	The State agency(s) responsible for enforcing youth tobacco access law(s):
		NC Dept. of Crime Control and Public Safety, Division of Alcohol Law Enforcement
		Has this changed since last year's Annual Synar Report?   Yes  No
4.	Identify	the State agency(s) responsible for tobacco prevention control activities.
		t. of Health and Human Services, Division of Public Health – Tobacco Prevention trol Branch
	Ha	as the responsible agency changed since last year's Annual Synar Report?
		Yes 🛛 No
	a.	Describe the coordination and collaboration that occur between the agency responsible for tobacco control and the agency responsible for oversight of the Synar requirements. The two agencies (check all that apply):
		☐ Are the same
		☐ Have a formal written memorandum of agreement
		☐ Have an informal partnership
		Conduct joint planning activities
		☐ Combine resources

	Have other collaborative arrangement(s) (please describe):collaborate on training activities, conferences, and workgroups								
5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2004. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e))									
	a. Which one of the following describes the enforcement of youth access to tobacco laws carried out in your State? (Check one category only)								
	<ul> <li>☐ Enforcement is conducted exclusively by local law enforcement agencies.</li> <li>☐ Enforcement is conducted exclusively by State agency(s).</li> <li>☐ Enforcement is conducted by both local and State agencies.</li> </ul>								
	b. The following items concern penalties imposed for violations of youth access to tobacco laws by <u>LOCAL AND/OR STATE LAW ENFORCEMENT</u> <u>AGENCIES.</u> Please fill in the number requested or indicate if these data are unavailable or the item is not applicable.								
	If Available								
	PENALTY NOT NOT APPLICABLE AVAILABLE TOTAL OWNERS CLERE								
Number of <u>citations issued</u> 1,892									
Number of fines assessed									
Number of permits/licenses suspended									
	Number of permits/licenses								
	Other (please Number of convictions in court describe):								
	<ul> <li>c. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply)</li> <li>Merchant education and/or training</li> <li>Incentives for merchants who are in compliance (e.g., Reward and Reminder)</li> <li>Community education regarding youth access laws</li> <li>Media use to publicize compliance inspection results</li> <li>Community mobilization to increase support for retailer compliance with youth access laws</li> <li>Other activities (please list):</li> <li>Briefly describe all checked activities:</li> </ul>								

□ Implemented a model, which includes past compliance checks data, to select locations to participate in targeted enforcement activities.

ALE is implementing protocols and procedures called "prescriptions" in its nine districts each month to conduct tobacco compliance checks that would allow ALE agents to 1) concentrate efforts in counties not previously checked as well as counties with high buy rates; 2) increase the number of checks in high density, such as large urban or rural areas, counties where there are bounce backs or swings in buy rates; 3) suspend or decrease checks in counties that have been highly saturated and have buy rates less than 20% and 4) target specific outlets for either high or repeated non-compliance.

□ Conducted seven regional forums across the state to engage Alcohol Law Enforcement supervisors, agents, Substance Abuse Services staff, retailers and key community agencies in discussions of local efforts everyone can partner on to reduce youth access to tobacco products.

The forums entitled "Zero Tobacco Sales to Minors" were held between May 11 and June 29, 2004 in Elizabeth City, Wilmington, Raleigh, Winston-Salem, Charlotte, Asheville and Greenville. The agenda for the forums was based on survey feedback from participants of the 2003 forums. A major issue identified in the surveys was that participants wanted to learn strategies and skills for building collaborative relationships and partnerships with retailers and law enforcement. Thus the forums focused on fostering understanding and relationship building amongst community agencies, retailers and law enforcement and included role plays as well as skill building exercises. During forum planning, members of NC RASS (Responsible Alcohol Sales & Service) Retailer Coalition provided valuable input into the content of the forums from the retail perspective. There was a substantial increase in the number of retail store participants this year.

□ Conducted community education and recognition activities to raise awareness of youth access issues among merchants, clerks, and the community at large; and provide positive recognition for stores that do not sell tobacco products to minors during enforcement operations.

The No Ifs Ands or Butts Campaign kicked off in March 2004. This campaign is a partnership among ALE, DHHS and the Health and Wellness Trust Fund Commission. CapStrat, the Commissions' media vendor worked with these agencies to conduct a kick-off event hosted by Lt. Governor Beverly Purdue to recognize retail associates that refuse to sell tobacco products to underage persons during ALE's recent enforcement operations. A press conference was held on March 3, 2004, at Lowes Foods on Strickland Road in Raleigh where the first TEE (Tobacco Enforcement Excellence) Certificates were awarded on behalf of the Commission. Six randomly selected store clerks from Wake County were honored for their refusal to sell tobacco products to minors during the press conference. The press event generated expansive media coverage (see section on earned media activities). In addition, ALE has distributed 6,000 certificates to store clerks across the state. Response from retailers has been extremely positive and very appreciative of their employees receiving these awards from the state.

□ Participated in a statewide conference to raise awareness among judges regarding the youth access law, impact of enforcement efforts on the federal Synar law and to garner

### their support when these cases come to court.

John Simmons (ALE) and Margaret Brake (CPM) presented on "Reducing Youth Access to Tobacco Products" to approximately 250 NC District Court Judges at their annual conference held June 15, 2004 at Atlantic Beach. The purpose of the session was to raise awareness among Judges regarding youth access to tobacco issues (state youth access law, enforcement, partnerships with retailers, local law enforcement, community agencies, parents, youth and potential loss of federal funding - \$15 million for failing to comply with federal Synar Law). In addition, the session sought to increase support from the Judges when these cases come to court. Feedback from the Judges was very positive and supportive of the state's effort to reduce youth access to tobacco products. Many of them were unaware of the potential impact of this issue on the availability of prevention and treatment services. Since the conference, ALE agents have reported anecdotally that they are seeing positive differences in how tobacco related cases are being handled in some counties.

□ Got earned or free media attention for community education and recognition efforts. This will be achieved through press releases and news articles regarding enforcement operations and public recognition of stores that do not sell tobacco products to minors.

There has been a substantial increase in the number of press releases from ALE 's Public Information Office and media coverage across the state (radio, television and newspapers) on the youth access issue. These include more than 30 media hits such as articles on tobacco compliance checks and enforcement operations as well as radio and television coverage of the regional forums. CapStrat assisted in generating media on the TEE Awards Press Conference with the Lt. Governor and the Regional Forums on Reducing Tobacco Sales to Minors.

- □ Distributed (statewide) signs and brochures related to the State's Youth Access to Tobacco Products and the responsibilities of the retail merchant.
- ☐ Informed retailers who were issued a citation for violation of the State's Youth Access Law of the availability of the BARS (Be A Responsible Seller) Education Program.

This statewide training program is conducted on a monthly basis in each ALE district across the State and provides training in both NC Alcohol and Tobacco Laws. ALE conducted 624 BARS presentations reaching 1,219 outlets with 5,314 participants from October 1, 2003 through July 31, 2004.

Promoted collaboration between the Area Mental Health Programs, local organizations and District Alcohol Law Enforcement Agents to recruit and train youth ages 16-17 to participate in enforcement activities; distribute merchant education materials, develop local media stories and articles on youth access issues; and promote the availability of the BARS Education Program to local retail merchants.

### SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2004. (See 42 U.S.C. 300x-26 and 45 C.F.R. 96.130)

6.	Has the	sampling methodology changed from the previous year?
		Yes No
	me Me	the State is required to have an approved up-to-date description of the Synar sampling ethodology on file with CSAP. Please submit a copy of your Synar Survey Sampling ethodology (Appendix B). If the sampling methodology changed from the previous porting year, these changes must be reflected in the methodology submitted.
7.		Inswer the following questions regarding the State's annual random, unced inspections of tobacco outlets. (See 45 C.F.R. $96.130(d)(2)$ )
	a.	Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?
		⊠ Yes □ No
		If <b>Yes</b> , attach SSES summary tables 1, 2, 3 and 4 and go to Question 8. If <b>No</b> , continue to Question 7b. <b>Tables 1-4 are in Appendix A.</b>
	<b>b.</b>	Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, and the standard error.
		Unweighted RVR
		Weighted RVR
		Standard error (s.e.) of the (weighted) RVR
		Fill in the blanks to calculate the $\underline{\text{right limit}}$ of the right-sided 95% confidence interval.
		$ \begin{array}{c ccccccccccccccccccccccccccccccccccc$
		RVR Estimate Plus (1.645 times Standard Error) equals Right Limit
	c.	Fill out Form 1 in Appendix A (Forms). (Required regardless of the sample design)

d.	How were the (weighted) RVR estimate and its standard error obtained? (Check the one that applies)							
	<ul> <li>☐ Form 2 (Optional) in Appendix A (Forms) (Attach completed Fe</li> <li>☐ Other (Please specify. Provide formulae and calculations or attached the program code and output with description of all variable na</li> </ul>	ach and explain						
e.	. If stratification was used, did any strata in the sample contain only one outlet or cluster this year?							
	☐ Yes ☐ No ☐ No stratification							
	If Yes, explain how this situation was dealt with in variance estimation.							
f.	Was a cluster sample design used?							
	☐ Yes ☐ No							
	If No, go to Question 7g.							
	If <b>Yes</b> , fill out and attach Form 3 in Appendix A (Forms), and answer the following question:							
	Were any certainty primary sampling units selected this year?							
	☐ Yes ☐ No							
	If Yes, explain how the certainty clusters were dealt with in variance estimation.							
g.	g. Report the following outlet sample sizes for the Synar survey.							
	Sample Size							
	Effective sample size (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)							
	Target sample size (the product of the effective sample size and the design effect)							
- 11	Original sample size (inflated sample size of the target sample to counter the sample attrition due to ineligibility and non-completion)							
]	Eligible sample size (number of outlets found to be eligible in the sample)	Eligible sample size (number of outlets found to be eligible in the sample)						

# h. Fill out Form 4 in Appendix A (Forms).

Final sample size (number of eligible outlets in the sample for which an

# 8. Did the State's Synar survey use a list frame?

inspection was completed)

$\boxtimes$	Yes No							
If	Yes, answer the following questions about its coverage:							
a.	The calendar year of the latest frame coverage stud	y:	2002					
<b>b.</b>	Percent coverage from the latest frame coverage str	ıdy:	80%					
c.	Was a new study conducted in this reporting period	?   Yes	No No					
	<b>Yes,</b> please complete Appendix D (List Sampling Frame abmit it with the Annual Synar Report.	Coverage	e Study) and					
d.	The calendar year of the next coverage study planne	ed:	2004					
	e Synar survey inspection protocol changed from the property of $oxed{oxed}$ No	previous	year?					
in. In	The State is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.							
a.	Provide the inspection period: From: 01/17/0		05/22/04 MM/DD/YY					
<b>b.</b>	Provide the number of youth inspectors used in the	current i	inspection year:					
c.	Fill out and attach Form 5 in Appendix A (Forms). used the Synar Survey Estimation System (SSES) to an	_	=					

# **SECTION II: FFY 2005 (Intended Use):**

Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the States provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

1.	In the upcoming year, does the State anticipate any changes in the:
	Synar sampling methodology   Yes   No
	Synar inspection protocol $\square$ Yes $\boxtimes$ No
	If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the State is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2005. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

With the grant from the NC Health and Wellness Trust Fund Commission, the CPM Section and ALE will implement Year 3 of the education and enforcement program that will focus specifically on the following objectives and build upon Year 2 strategies/activities:

- 1. Implement targeted enforcement in counties 1) where noncompliance is high, 2) that are high density, such as large urban or rural areas, and 3) suspend or decrease checks in counties that have been highly saturated and have buy rates less than 20%. A minimal baseline number of compliance checks will be conducted in all counties.
- 2. Maintain current database in order to expand analyses of data from compliance checks.
- 3. Increase activities to raise public awareness of the youth access law, its penalties and enforcement operations among judges, district attorneys, retailers, law enforcement agencies, community agencies and local groups.
- 4. Continue to build and enhance collaborative relationships with local law enforcement, merchants, Area Mental Health Programs, local coalitions, youth organizations and community groups to effectively address the youth access issue at the local level through training, community interventions and media activities.
- 5. Reduce youth access to tobacco products to 20% or lower to comply with the federal Synar Amendment.

These objectives will be accomplished through the strategies and activities described below:

- " Implement a model, which will include past compliance checks data, to select locations to participate in targeted enforcement activities.
- Conduct at least 550 tobacco compliance checks per month, for a total of 6,600 checks during state fiscal year 2004-2005.
- Conduct an analysis of ALE's compliance checks data by geocoding the location of outlets visited by ALE and analyzing patterns of violations using selected census track demographics, including racial, income, education and housing variables. GIS mapping and tables will be used to depict patterns of violations by region, major city and county. The analysis will be used to design a targeted campaign in selected communities around the state to increase compliance regarding tobacco sales to minors among retailers /clerks.
- Design and conduct a campaign similar to West Virginia's "See Red?" to increase compliance with the youth access law among retailers and clerks in targeted areas and engage communities, including youth in local events to educate and support retailers. The campaign will highlight the importance of checking IDs (NC's driver licenses have a red background/border to denote license holders under the age of 18). It will include some print and paid media, print materials, local events and possibly direct mail to retailers.
- Conduct community education and recognition activities (i.e. local events to present TEE awards to clerks) in partnership with local agencies to raise awareness of youth access issues among merchants, clerks, and the community at large. ALE agents will provide positive recognition as well as incentives for store clerks that do not sell tobacco products to minors during enforcement operations.
- Get earned or free media attention to enforcement activities including compliance checks and other community events in local newspapers, television or radio. This will be achieved primarily through press releases from ALE's Public Information Office.
- Partner with community agencies to host retailer education and training events. ALE will inform all retailers who are issued a citation for violation of the State's Youth Access Law of the availability of the BARS (Be A Responsible Seller) Education Program. BARS training brochures will also be distributed to retailers.
- Conduct a campaign (mailings, community forums, participation in conferences) to raise awareness among judges, district attorneys and assistant district attorneys on the youth access law, impact of enforcement efforts on compliance with the federal Synar law and garner their support when these cases come to court.
- Promote collaboration between the Area Mental Health Programs and their contract agencies, local organizations and District Alcohol Law Enforcement Agents to recruit and train youth ages 16-17 to participate in enforcement activities; distribute merchant education materials; develop local media stories and articles on youth access issues; promote the availability of the BARS education program to local retail merchants; and coordinate local retailer trainings. The State does not anticipate any changes in its youth tobacco access legislation.

3.	Describe any challenges the State faces in complying with the Synar regulation. (Check
	all that apply)
	□ Limited resources for law enforcement of youth access laws
	□ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
	□ Limitations in the State youth tobacco access laws
	☐ Limited public support for enforcement of youth tobacco access laws
	☐ Limitations on completeness/accuracy of list of tobacco outlets
	☐ Limited expertise in survey methodology
	☐ Laws/regulations limiting the use of minors in tobacco inspections
	☐ Difficulties recruiting youth inspectors
	☐ Geographic, demographic, and logistical considerations in conducting inspections
	☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)
	☐ Issues regarding sources of tobacco under tribal jurisdiction
	Other challenges (please list):

Briefly describe all checked challenges:

One of the challenges that the Division of MH/DD/SAS and the Department of Health and Human Services continue to face in implementing the Synar Program is maintaining funding for enforcement. Since losing the FDA contract in March 2000, which provided funding for enforcement for the federal Youth Access Law, maintaining statewide enforcement effort has been challenging for the state. The Department of Health and Human Services worked diligently to identify stopgap state funding sources primarily through lapsed salary to prevent a lag in enforcement. The Division, working with the Tobacco Prevention and Control Branch, Alcohol Law Enforcement and other partners were successful in securing funding from the NC Health and Wellness Trust Fund Commission, (dependent upon availability of funds and satisfactory progress), to support enforcement activities and other initiatives to prevent and reduce teen tobacco use.

One of the powers and duties of the Commission as set forth in legislation is that they shall "ensure that good faith efforts are made to achieve federal mandates targeting the reduction of youth access to tobacco products." The Division hopes that this provision provides a more long-term solution, beyond the three year cycle, to fund educational and enforcement activities to reduce youth access to less than 20%. The Division is pleased to receive this funding for enforcement from the Commission.

The NC Youth Access Law makes it illegal for youth under 18 years of age to purchase tobacco products, but does not prohibit them from possessing the product or from smoking. This does not seem reasonable, particularly to law enforcement agencies and is seen as a weakness in the law. There has been some interest in trying to get possession added to the legislation, but there are advocates who do not support this strategy. It is an issue that the state will continue to review as well as to monitor how this is handled in other states.

There are an increasing number of ethnic vendors/retailers in the state which presents language and cultural barriers as far as interpretation of the law and its requirements. This increases the need for merchant education and other materials designed especially for use in communities where there isn't fluency in the English language. Currently the state makes signs available to retailers in both English and Spanish to post at the point of sale and is working on adapting the "Check That Photo ID" brochure to Spanish as well.

# APPENDIX A: FORMS/ SSES TABLES

	TA	BLI	E 1	-S	ynar	Survey	<b>Estimates</b>	and	Sam	ple	Sizes
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TABLE 2 – Synar Survey Results by Stratum and by OTC/VM

**TABLE 3 – Synar Survey Sample Tally Summary** 

**TABLE 4 – Synar Survey Inspection Results by Youth Inspector Characteristics** 

# SSES Table 1 (Synar Survey Estimates and Sample Sizes)

# **CSAP-SYNAR REPORT**

State	NC
Federal Fiscal Year (FFY)	2004
Date	11/07/2004 20:11
Data	NCSSESinput04.xls
Analysis Option	Stratified Clustered with FPC

### **Estimates**

Unweighted Retailer Violation Rate	16.2%
Weighted Retailer Violation Rate	16.8%
Standard Error	2.0%
Is SAMHSA Precision Requirement met?	NO
Right-sided 95% Confidence Interval	[0.0%, 20.1%]
Two-sided 95% Confidence Interval	[12.8%, 20.7%]
Design Effect	2.4
Accuracy Rate (unweighted)	45.5%
Accuracy Rate (weighted)	45.6%
Completion Rate (unweighted)	96.7%

# **Sample Size for Current Year**

Effective Sample Size	485
Target (Minimum) Sample Size	800
Original Sample Size	1,882
Eligible Sample Size	856
Final Sample Size	828
Overall Sampling Rate	13.7%

		Outlet	Estimated	Number of	Number of	Outlet		Number of	Number of	Retailer	
Samp.	Var.	Frame	Outlet	PSU	PSU	Sample	Eligible	Sample	Sample	Violation	Standard
Stratum	Stratum	Size	Population		Clusters in	Size	Outlets in	Outlets	Outlets in	Rate(%)	Error(%)
			Size	Created	Sample		Sample	Inspected	Violation	(,	
					All	Outlets				•	•
11	11	0	514	20	2	108	39	39	11	28.4%	
12	12	0	628	8	2	186	85	82	7		
13	13	0	582	4	2	195	85	85	19		
14	14	0	479	47	6	159	62	60	10		
21	21	0	720	22	2	138	83	80	18		
22	22	0	576	7	2	168	93		10		
31	31	0	707	13	2	174	78		13		
32	32	0	618	3	2	244	99	94	14		
41	41	0	537	11	2	125	67	64	9		
42	42	0	449	4	2	222	104	100	14		
43	43	0	374	49	9	163	61	61	9		
Total		0	6,184	188	33	1,882	856	828	134	16.8%	2.0%
	1					ounter O			T		
11	11	0	514	20	2	39	39	39	11	28.4%	
12	12	0	622	8	2	129	82	81	7	8.0%	
13	13	0	582	4	2	85	85	85	19		
14	14	0	479	47	6	60	60	60	10		
21	21	0	720	22	2	80	80	80	18		
22	22	0	576	7	2	89	88		10		
31	31	0	694	13	2	74	74		13		
32	32	0	618	3	2	94	94	94	14		
41	41	0	537	11	2	64	64	64	9		
42	42	0	443	4	2	99	99	99	14		
43	43	0	374	49	9	61	61	61	9		
Total		0	6,159	188	33	874	826	825	134	16.8%	2.0%
		1				g Machin			ı	1	
11	11	0	0	20	2	0	0		0		
12	12	0	6	8	2	2	1		0		
13	13	0	0	4	2	0	0		0		
14	14	0	0	47	6	0	0		0		
21	21	0		22	2	0	0				
22	22	0	0	7	2	0	0		0		
31	31	0	13	13		1	1		0		
32	32	0	0			0	0				
41	41	0	0	11	2	0	0		0		
42	42	0	6	4	2	1	1		0		
43	43	0	0	49		0	0		0		
Total		0	25	188	33	4	3	3	0	0.0%	0.0%

Note: There are some records with unknown outlet type. Therefore the overall counts may not equal the sum of OTC and VM counts.

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	828	
Total (Eligible Cor	mpletes)		828
N1	In operation but closed at time of visit	24	
N2	Unsafe to access	4	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion	0	
Total (Eligible Nor	ncompletes)		28
<b>I</b> 1	Out of Business	82	
12	Does not sell tobacco products	874	
13	Inaccessible by youth	0	
14	Private club or private residence	0	
15	Temporary closure	0	
16	Unlocatable	59	
17	Wholesale only/Carton sale only	0	
18	Vending machine broken	0	
19	Duplicate	9	
I10	Other ineligibility (see below)	2	
Total (Ineligibles)			1026
Grand Total			1882

Give reasons and counts for other ineligibility:

Reason	Count
inspected but not in sample	2

# SSES Table 4 (Synar Survey Inspection Results by Youth Inspector Characteristics)

STATE: NC FFY: 2004

**Frequency Distribution** 

1 requeries i				
Gender	Age	Number of	Attempted	Successful
Ochaci	Age	Inspectors	Buys	Buys
Male	14	0	0	0
	15	1	11	0
	16	2	371	46
	17	0	0	0
	18	0	0	0
	Subtotal	3	382	46
Female	14	0	0	0
	15	1	125	26
	16	2	321	62
	17	0	0	0
	18	0	0	0
	Subtotal	3	446	88
Other		0	0	0
Grand Total		6	828	134

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	0.0%	20.8%	19.1%
16	12.4%	19.3%	15.6%
17	0.0%	0.0%	0.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	12.0%	19.7%	16.2%

<b>STATE:</b>	NC
FFY:	2005

#### SYNAR SURVEY SAMPLING METHODOLOGY

1	TT71 4	4	- C	'	l*	C	• _	10
1.	vvnat	type	OT	samb	ung	frame	ıs	usea :
		-J P -	~-	~			_~	

☐ List frame	(Go to Question 2)
☐ Area frame	(Go to Question 3)
□ List-assisted area frame	(Go to Question 2)

2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (After completing this question, go to Question 4)

Use the corresponding number to indicate Type of Source in the table below:

1 - Statewide commercial business list
 2 - Local commercial business list
 4 - Statewide retail license/permit list
 5 - Statewide liquor license/permit list

3 – Statewide tobacco license/permit list 6 – Other

Name of Frame Source	Type of Source	Description	<b>Updating Method and Cycle</b>
Dun & Bradstreet's business list	1	The frame excluded membership establishments, bars, liquor stores that do not sell tobacco, vending machine distributors, race tracks, golf courses, miscellaneous retail stores where tobacco products are rarely sold.	The frame is updated annually to include new outlets that were not on the frame in the previous survey. Duplicates are removed from the frame. Telephone calls are made to verify that the outlets sell tobacco.

# 3. If an area frame is used, describe how area sampling units are defined and formed

PSUs are counties or groups of smaller contigous counties at the first stage except for two strata that contain a single county. In the latter case, the PSUs are clusters based essentially on Zip areas. In the other strata either all or a sample of clusters are selected as SSUs.

ation requires that vending machines be inspected as part of the Synar ending machines included in the Synar survey?  No ease indicate the reason they are not included in the Synar survey. law bans vending machines law bans vending machines from locations accessible to youth has SAMHSA approval to exempt vending machines from the survey or (please describe):
ending machines included in the Synar survey?  No  ease indicate the reason they are not included in the Synar survey.  law bans vending machines  law bans vending machines from locations accessible to youth  has SAMHSA approval to exempt vending machines from the survey
law bans vending machines law bans vending machines from locations accessible to youth has SAMHSA approval to exempt vending machines from the survey
law bans vending machines law bans vending machines from locations accessible to youth has SAMHSA approval to exempt vending machines from the survey
law bans vending machines from locations accessible to youth has SAMHSA approval to exempt vending machines from the survey
has SAMHSA approval to exempt vending machines from the survey
r (please describe):
ry below best describes the sample design? (Check only one)
us (STOP HERE: Appendix B is complete)
fied State-wide sample:
Simple random sample (go to Question 9)
Systematic random sample (go to Question 6)
Single-stage cluster sample (go to Question 8)
Multi-stage cluster sample (go to Question 8)
d sample:
Simple random sample (go to Question 7)
Systematic random sample (go to Question 6
Single-stage cluster sample (go to Question 7)
Multi-stage cluster sample (go to Question 7)
_ Other (please describe):
(please describe and go to Question 9):
T(preuse deservoe una go to Question )).
_

#### 7. Provide the following information about stratification

a. Provide a full description of the strata that are created.

Primary sampling units (PSUs) comprised of single or paired counties are stratified by four mental health regions and by estimated number of tobacco outlets (size strata) within regions, resulting in a total of 11 strata. Except for two strata containing a single county in which case the PSUs are clusters based on Zips.

# b. Is clustering used within the stratified sample?

Xes (go to Question 8)☐ No (go to Question 9)

# 8. Provide the following information about clustering

**a.** Provide a full description of how clusters are formed. (If multi-stage clusters are used, give definitions of clusters at each stage.)

There are one or two stages of sampling (two stages used in strata containing more than one county and larger counties are selected) involving two types of clusters: counties and ZIP codes. In the first stage, the State's 100 counties singly or in pairs comprise the PSUs. Small PSUs are combined with other PSUs so that the minimum PSU size is 30 outlets. This combination results in a total of 94 PSUs. Second stage units (SSUs) are formed for those situations just described that are essentially equivalent to the postal ZIP areas. Small ZIP areas are combined to form SSUs with a minimum of eight outlets.

b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.

PSUs are stratified by four mental health regions and estimated number of tobacco outlets within those regions. Two strata (large counties) are certainty strata. From each of the nine non-certainty strata, two PSUs are selected using probability proportional to size (PPS) selection. Size is based on travel costs and number of outlets. Within sampled PSUs, ZIP code clusters are selected with equal probability (except for smaller PSUs where all outlets are inspected). All random numbers are generated using the random number function (RAND) in Excel. Within ZIP code clusters, outlets are stratified by SIC category. Outlets in SIC categories that rarely sell tobacco (restaurants) are sampled at one-tenth the rate of outlets in the other SIC categories. Large ZIP areas are subsampled to achieve a target SSU size of approximately 10 outlets.

# 9. Provide the formulae for determining the effective, target, and original outlet sample sizes.

The effective sample size:

$$n_e = \frac{p(1-p)t^2}{9^2},$$

where p is the violation rate;

t = 1.645, is the normal z-statistic for one-sided 95% confidence interval;

? is the desired precision level set at 3 %.

The formula for computing the effective sample size is derived from the target sample size formula given in FY2004 ASR.

The target sample size:

$$n_d = dn_e$$
,

where *d* is the design effect.

Original sample size:

$$n_o = \frac{n_d}{r_e r_c},$$

where  $r_e$  is the eligible rate and  $r_c$  is the completion rate.

The formula for computing the original sample size is not given, but can be deduced from the context.

In addition to the original sample, supplemental samples were selected and fielded. The overall original sample size is the sum of  $n_o$  and the number of outlets in the supplemental samples ( $n_s$ ) that are fielded, i.e.,

$$n = n_o + n_s$$
.

# **APPENDIX C**

<b>STATE:</b>	NC
FFY:	2005

# SYNAR SURVEY INSPECTION PROTOCOL

Note: Attach a copy of the inspection form and protocol used to record the inspection result.

1.	. How does the State Synar survey protocol address the following?					
	a.	Consummated buy attempts?				
		□ Required		☐ Not Permitted		
		☐ Permitted under spe	cified circumstances	☐ Not specified in protocol		
	b. Youth inspectors to carry ID?					
	⊠ Required			☐ Not Permitted		
	Permitted under specified circumstances		☐ Not specified in protocol			
c. Adult inspectors to enter the outlet?						
		Required		☐ Not Permitted		
	Permitted under specified circumstances		☐ Not specified in protocol			
d. Youth inspectors to be compensated?						
		⊠ Required		☐ Not Permitted		
		Permitted under spe	cified circumstances	☐ Not specified in protocol		
2.	2. Identify the agency(s) or entity(s) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply)  Law enforcement agency(s)  State or local government agency(s) other than law enforcement  Private contractor(s)  Other					
	Lis	st the agency name(s):	Community Policy M	rtment of Health and Human Services, Management Section, contracts with the ociation of North Carolina to conduct pections.		
3.	issue wa	Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement issue warnings or citations to retailers found in violation of the law at the time of the inspection)?				
☐ Always ☐ Usually ☐ Sometimes ☐ Rarely ☒ Never						

4.	Describe the methods used to recruit, select, and train youth inspectors and adult
	supervisors.

In order to assure inter-rater reliability, the same instructor trains the youth. The instructions include specific information on the role and responsibilities of the youth, followed by some role playing exercises covering various scenarios that prepared the youth for the different types of questions or responses to expect from the merchants and their employees.

5.	Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?					
	a. I	Legal	☐ Yes	No (If Yes, please	describe):	
	b. I	Procedural	☐ Yes	No (If Yes, please	describe):	
6.	Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?					
	a. I	Legal	☐ Yes	No (If Yes, please	describe):	
	Two over Bars	night Synar Sui	ors must be evey inspec erns are not	tion trips.	e describe):  ch youth inspector for all  afety concerns even though they	
7.	Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?					
	a. I	Legal	☐ Yes	No (If Yes, please	describe):	
	b. I	Procedural	⊠ Yes	☐ <b>No</b> (If <b>Yes,</b> please	describe):	
]		h inspectors mu es are not includ	ded due to t	-	state operated and do not sell	